

Receipt

PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

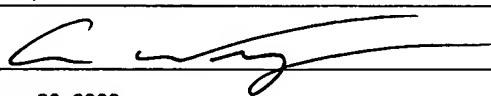
<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	10/033,584
		Filing Date	December 27, 2001
		First Named Inventor	Kenji Yamagami
		Group Art Unit	2171
		Examiner Name	Unknown
Total Number of Pages in This Submission	7	Attorney Docket Number	36992.00088 (HAL ID 197)

## ENCLOSURES (check all that apply)


<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) ____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request to Correct Filing Receipt Copy of Official Filing Receipt Mailed 1/31/02 w/ Changes Indicated in Red Return Receipt Postcard
Remarks		

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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Aaron Wining, Reg. No. 45,229 Squire, Sanders & Dempsey, L.L.P. 600 Hansen Way Palo Alto, CA 94304-1043		
Signature			
Date	February 26, 2002		

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: February 26, 2002			
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MAR 08 2002

PATENT & TRADEMARK OFFICE

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 0

Complete if Known

Application Number 10/033,584

Filing Date December 27, 2001

First Named Inventor Kenji Yamagami

Examiner Name Unknown

Group / Art Unit 2171

Attorney Docket No. 36992.00088 (HAL ID 197)

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METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 05-0150

Deposit Account Name Squire, Sanders & Dempsey, L.L.P.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	180	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 0

2. EXTRA CLAIM FEES

Total Claims -20 \*\* = 0 X Fee from below = 0

Independent Claims -3 \*\* = 0 X Fee from below = 0

Multiple Dependent X Fee from below = 0

Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Fee Code	Large Entity Fee (\$)	Small Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$ ) 0

SUBMITTED BY

Name (Print/Type) Aaron Wininger Registration No. Attorney/Agent 45,229 Telephone 650.856.6500

Signature [Signature] Date February 26, 2002

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CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231,

Date: 2/26/02

By: [Signature]

Aaron Wininger

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MAR 19 2002  
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In Re Application of	
Kenji Yamagami	
Serial No. 10/033,584	Examiner: Unknown
Filing Date: December 27, 2001	Group Art Unit: 2171
For: METHODS AND APPARATUS FOR BACKUP AND RESTORING SYSTEMS	

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

REQUEST TO CORRECT FILING RECEIPT

- Attached is a copy of the Official Filing Receipt as received from the U.S. Patent And Trademark Office with regard to the above-identified patent application for which issuance of a corrected Filing Receipt is respectfully requested. The errors are shown in red on the Filing Receipt as well as described below.
- There is an error in that the following data is:
  - ☒ incorrectly entered
  - and/or*
  - ☐ omitted
  - ☐ Applicant's name
  - ☐ Applicant's address
  - ☐ Title
  - ☐ Filing Date
  - ☐ Serial Number
  - ☐ Foreign Application Reference
  - ☐ Attorney Docket No.
  - ☒ Other – Assignment For Published Patent Application

in that the filing receipt should read as follows:

**Assignment For Published Patent Application**

**Hitachi, Ltd., Tokyo, Japan**


3. Please issue a corrected Filing Receipt rectifying the above errors.

If for any reason an insufficient fee has been paid, please charge the insufficiency to  
Deposit Account No. 05-0150.

Date: February 26, 2002

Respectfully submitted,

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043  
Telephone: 650-856-6500  
Facsimile: 650-843-8777

By:   
Aaron Wininger  
Attorney for Applicant  
Reg. No. 45,229



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
00/033,584	12/27/2001	2171	1244	36992.00088 (HAL 197)	6	20	9

CONFIRMATION NO. 9186

## FILING RECEIPT



\*OC000000007402100\*

Daryl C. Josephson  
Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304

Date Mailed: 01/31/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Kenji Yamagami, Los Gatos, CA;

## Assignment For Published Patent Application

Hitachi, Ltd., Chiyoda-Ku, JAPAN;  
Tokyo

## Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 01/31/2002

Projected Publication Date: 07/03/2003

Non-Publication Request: No

Early Publication Request: No

## Title

Methods and apparatus for backup and restoring systems

## Preliminary Class

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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